Embedding Records Management into Agency Processes

The FEA Records Management Profile

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Overview

- What is the FEA RM Profile?
- What are its objectives?
- What are the strategies and approaches to meet these objectives?
- What's next?

What is the RM Profile?

- NARA Bulletin 2006-03 Availability of Federal Enterprise Architecture (FEA) RM Profile, released December 23, 2005

http://www.archives.gov/records-mgmt/bulletins/2006/2006-03.html

- Developed by NARA and industry partners BAH and SRA and released in December 2005
- FY 2006 focus is pilot implementation

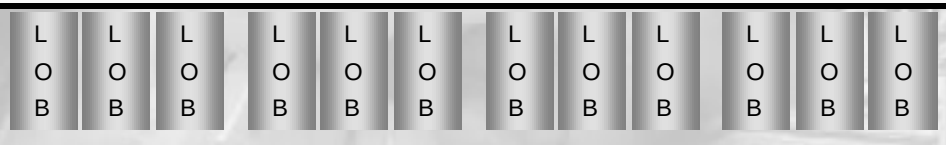
What is the RM Profile?

- A framework for embedding records management into IT governance and development processes
- A resource to guide integrating records management seamlessly into agency business processes, enterprise architectures, and information systems

What is the RM Profile?

A cross-cutting, integral element of the FEA

FEA	Records Management Profile		
	Creation and Receipt	Maintenance and Use	Disposition
BRM	Policies and Procedures		
SRM	Components, Services, Shared Service Centers		
DRM	Information Structure, Exchange, and Access		
TRM	Standards, Specifications, and Technologies		
PRM	Performance Metrics and Results		



What are the objectives?

1. Establish a common Government-wide framework for identifying records management requirements.
2. Identify records management issues and requirements and link them to their implementing technologies and business processes.
3. Build records management requirements into agency IT governance processes for capital planning, enterprise architecture, business process design, and the systems development life cycle.
4. Establish a concise and coherent body of records management resources that places this information in the proper context within the FEA.

RM and the FEA

RM Resources	*The FEA*
OMB, ISO, NARA Guidance	**Business Reference Model (BRM)** Agencies analyze their business processes to help identify the records they create, receive, maintain, and use.
RM Service Components (RMSC)	**Service Component Reference Model (SRM)** Agency use of records management service components will help automate the records management life cycle.
DoD 5015.2-STD **NARA GPEA Guidance** **NARA Transfer Instructions**	**Technical Reference Model (TRM)** Agency use of the TRM will help identify the standards, specifications and technologies needed to support RMSC.
DoD 5015.2 Metadata Profile	**Data Reference Model (DRM)** Facilitate the transfer of records between RMSC and applications. Enable discovery and access by agencies and the public.
IAC White Paper	**Performance Reference Model (PRM)** Agencies identify metrics and goals for records management performance and outcomes.

The RM Profile Can Help You…….

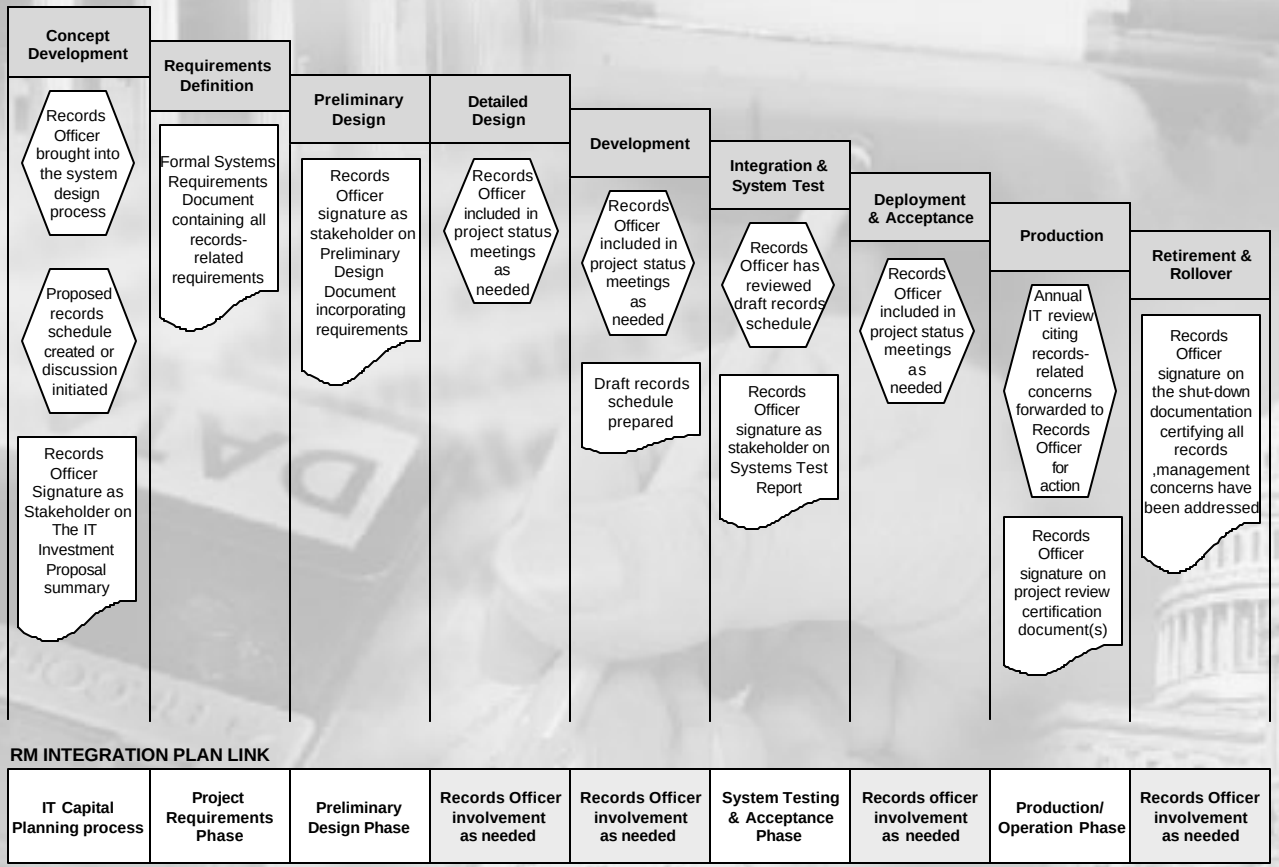
- Be proactive in identifying your records management requirements
- Incorporate these requirements at the right time and in the right place in your work processes
- Integrate your records management requirements into your SDLC and CPIC processes
- Understand the value of effective records management with ‘real life’ examples, hypothetical scenarios, and records management resources
- Identify and preserve the right records to ensure your agency programs are accountable to the public and other stakeholders
- Leverage the FEA to ensure your compliance with current NARA and OMB guidance
- Build structured and consistent approaches for implementing your current and future RM requirements agency-wide
- Develop a strategy for aligning your programs to the Electronic Records Management E-Government Initiatives implementation plan

Using the Profile

- RM Profile includes practical examples of how the framework might be applied
  - Integrating RM into the SDLC with specific questions to address at each stage of the process
  - Integrating RM into agency CPIC processes with questions addressing RM as part of preparing an Exhibit 300
  - Hypothetical scenarios illustrating implementation of RM Profile

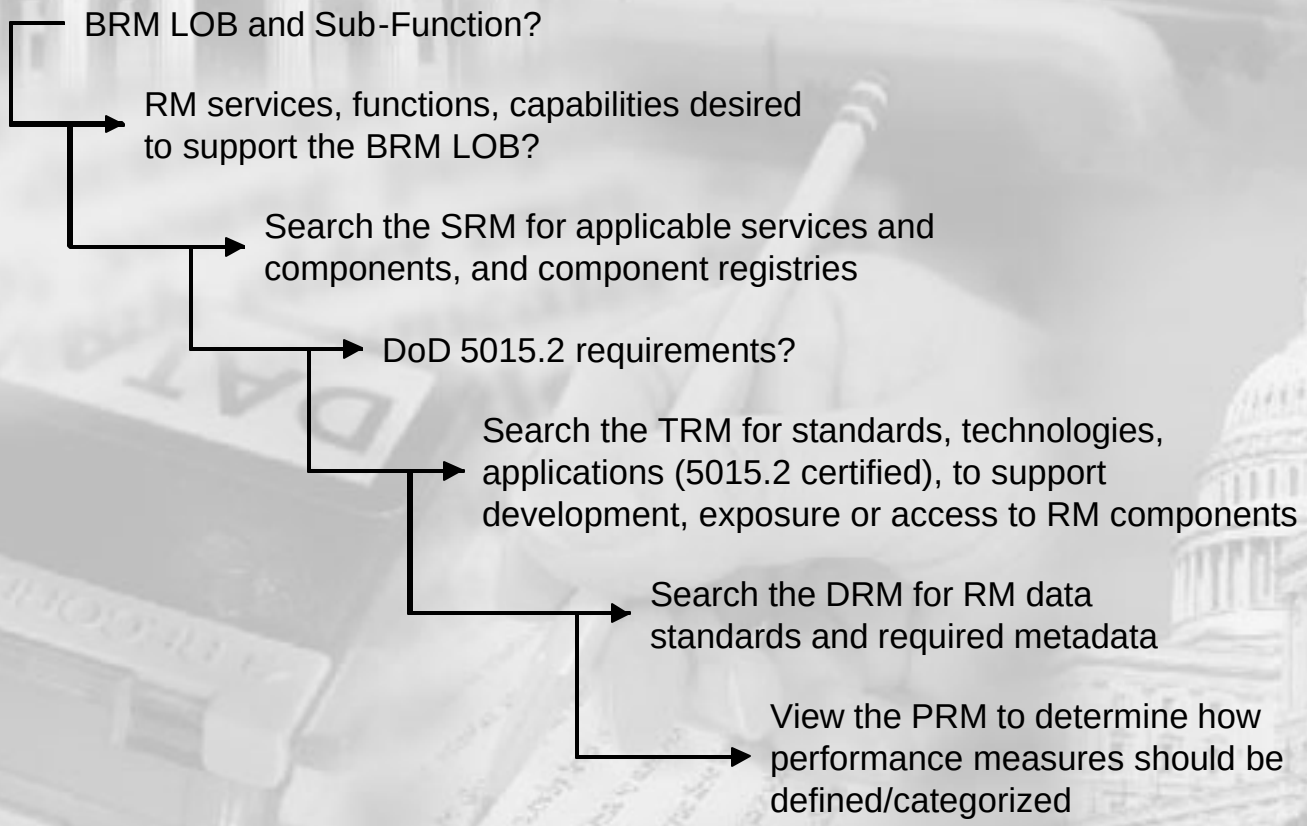
Using the Profile: SDLC

- **3-5 questions for each phase of the SDLC**



Using the Profile: CPIC Process

- **Specific questions addressing RM by FEA Model**
- **Applicable to new and enhanced system acquisitions**



Using the Profile: Scenarios

- Three hypothetical scenarios illustrating application of Profile to ‘real’ agency systems and processes
  - Scenario 1: Implement RMA for life cycle RM
  - Scenario 2: Implement RM Services
  - Scenario 3: Implement RM Services with links to RMA on back-end for RM

Next Steps

- Test and refine RM Profile through agency pilots
- Purpose is to test usefulness of the RM Profile and demonstrate ‘proof of concept’
- Work closely with agency Chief Architects, CIOs, and IT staff
- Concentrate work at appropriate level of FEA LOBs with goal of working with one agency to develop a model that could be applied to others
- Leverage the FEA PMO’s Federal Transition Framework (DRAFT)

Issues to resolve

- How will we define the pilots and execute them for each LOB??
- When do the pilots end, i.e., duration?
- What are the measures of success/failure?
- What role does agency staff (RM, IT) have?
- What are the potential uses for data collected during the pilots?

Questions??

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